

## FACSIMILE TRANSMISSION

TO: U.S. Patent and Trademark Office  
(703) 746-4060

FROM: Alfred A. Fressola

DATE: April 22, 2002

RE: Our File No: 943-002.2  
Serial No. 09/994,471 Filed November 26, 2001



Number of pages (including this transmittal page) 14

In response to a Request for Substitute Papers filed on February 27, 2002 and mailed to Box Missing Part, US Patent and Trademark Office. A copy of the postcard which acknowledged receipt is enclosed, along with a copy of the request and the entire copy of the papers submitted on February 27, 2002.

Acknowledgement Requested XXXX Yes            No

Sent By: Anita Schelmetic

WARE, FRESSOLA, VAN DER SLUYS & ADOLPHSON  
BRADFORD GREEN, BUILDING FIVE  
755 MAIN STREET, MONROE, CONNECTICUT 06468  
TEL. NO (203) 261-1234  
FAX NO (203) 261-5676

**PLEASE CALL IF ANY PART OF THIS FAX IS NOT RECEIVED**

The information contained in this facsimile message is intended only for the personal use of the designated recipients named above.

I hereby certify that this correspondence  
is being sent by facsimile today to  
(703) 746-4060.

Anita Schelmetic  
By: Anita Schelmetic

Date: April 22, 2002



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/994,471	11/26/2001	Stiegler, Andreas	943-002.2

4955

WARE FRESSOLA VAN DER SLUYS &  
ADOLPHSON, LLP  
BRADFORD GREEN BUILDING 5  
755 MAIN STREET, P O BOX 224  
MONROE CT 06468



RECEIVED  
WARE, FRESSOLA, VAN DER SLUYS  
& ADOLPHSON

APR 16 2002

FILE 943-002.2  
ANS'D. Y clg

Title: Decoding device, decoding method and automobile audio system with such a decoding device

Date Mailed: 04/09/2002

## Request for Substitute Papers

The papers filed on 03/11/02 (certificate of mailing dated 02/27/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated 703-746-4060(OIPE).

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: Alfred A. Fressola Registration No.: 27,550

Signature: [Signature] Date: 4/22/02

For: Decoding Device, Decoding Method and Automobile.....

Serial No. 09/994,471 Filed: 11/26/01

The following papers were received in the U.S. Patent and Trademark Office:

**PATENT**

<input checked="" type="checkbox"/> Transmittal of Missing Parts	<input type="checkbox"/> Amendment and/or Response
<input type="checkbox"/> Specification - No. of Pages	<input type="checkbox"/> Info. Disclosure Statement
<input type="checkbox"/> Claims - No. of Pages	<input type="checkbox"/> TM or SM Appl. - No. of Pages
<input type="checkbox"/> Abstract - No. of Pages	<input type="checkbox"/> Specimens - No. of
<input checked="" type="checkbox"/> Decl. and Power of Atty.	<input checked="" type="checkbox"/> Fee: \$980.00 ck Enclosed
<input type="checkbox"/> Assignment	<input type="checkbox"/> Drawings - No. of Sheets
<input type="checkbox"/> Small Entity Statement	
<input checked="" type="checkbox"/> Copy of Response	

**OFFICE**

Audio System with Such a

Attorney:  
 AAF/aks

Date Mailed:  
 2/27/02

Docket No.  
 943-002.2

Please date stamp and return



COPY OF PAPERS  
 ORIGINALLY FILED

03/14/02

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed December 6, 2001

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. § 1.8(a))**

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**FACSIMILE**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 2/27/02

Anita Schelmetic

Signature

Anita Schelmetic

(type or print name of person certifying)

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 1 of 6)

APR-22-2002 13:51

P.04/14

**WARE, FRESSOLA  
VAN DER SLUYS & ADOLPHSON LLP**  
755 MAIN STREET, BLDG. 5  
MONROE, CT 06468  
(203) 261-1234

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51-7218-2211



18602

**PAY** NINE HUNDRED EIGHTY AND NO/100

**TO THE  
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**DATE**

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02/26/02

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Commissioner of Patents & Trademarks  
943-002-2

⑈018602⑈ ⑆221172186⑆ 032 7006860⑈

**WARE, FRESSOLA  
VAN DER SLUYS & ADOLPHSON LLP**

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18602

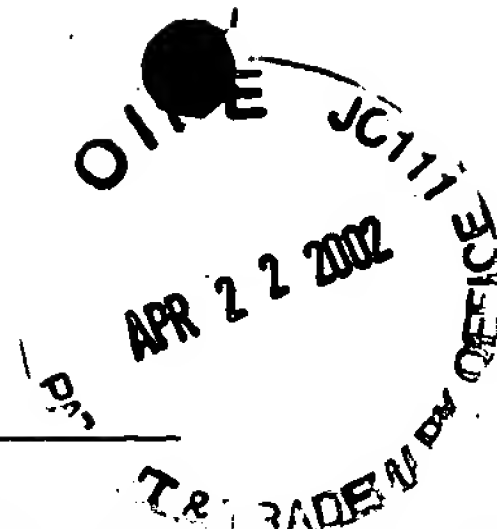
02/26/02

Commissioner of Patents & Trademarks

\$980.00

INVOICE # 022602

943-002-2

Practitioner's Docket No. 943-002.2**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**In re application of: Stiegler et alApplication No.: 09 / 994,471 Group No.:Filed: November 26, 2001 Examiner:For: Decoding Device, Decoding Method and Automobile Audio System with Such a Decoding Device

Box Missing Part

Assistant Commissioner for Patents

Washington, D.C. 20231

**COMPLETION OF FILING REQUIREMENTS  
— NONPROVISIONAL APPLICATION***(check and complete this item, if applicable)*

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed December 6, 2001

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

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NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

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**MAILING**

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**FACSIMILE**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 2/27/02

Signature

Anita Schelmetic*(type or print name of person certifying)*

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 1 of 6)

**DECLARATION OR OATH**

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

*NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).*

**OR**

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

*NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.*

*NOTE: "The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 CFR 1.63:*

*"(1) name of inventor(s), and application number (consisting of the series code and the serial number; e.g., 08/123,456);*

*"(2) name of inventor(s), serial number and filing date;*

*"(3) name of inventor(s) and attorney docket number which was on the specification as filed;*

*"(4) name of inventor(s), title which was on the specification as filed and filing date;*

*"(5) name of inventor(s), title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or*

*"(6) name of inventor(s), title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number; e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."*

*Notice of Jul. 13, 1995 (1177 O.G. 60); M.P.E.P. § 601.01(a), 6th ed., rev. 3.*

*NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. § 1.10(c).*

*(complete (c) or (d), if applicable)*

Attached is a

- (c) ☐ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

**AMENDMENT CANCELLING CLAIMS**

- III. ☐ Cancel claims \_\_\_\_\_ inclusive.

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 2 of 6)

### TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided by the PTO need not be translated, 37 C.F.R. § 1.69(b).

### SMALL ENTITY STATUS

V.

- ☐ A statement that this filing is by a small entity

(check and complete applicable items)

- ☐ is attached.  
☐ A separate refund request accompanies this paper.  
☐ was filed on \_\_\_\_\_ (original).

### COMPLETION FEES

VI.

WARNING: Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. § 1.53.

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. § 1.28(a).

#### 1. Filing fee

- ☒ original patent application  
 (37 C.F.R. § 1.16(a)— \$740 ; Small entity—\$ 370 ) \$ 740.00
- ☐ design application  
 (37 C.F.R. § 1.16(f)— \$330 ; small entity—\$ 165 ) \$ \_\_\_\_\_  
 \$ \_\_\_\_\_

#### 2. Fees for claims

- ☐ each independent claim in excess of 3  
 (37 C.F.R. § 1.16(b)— \$ 84 ; small entity—\$ 42 ) \$ \_\_\_\_\_
- ☐ each claim in excess of 20  
 (37 C.F.R. § 1.16(c)— \$18 ; small entity—\$ 9 ) \$ \_\_\_\_\_
- ☐ multiple dependent claim(s)  
 (37 C.F.R. § 1.16(d)— \$ 280 ; small entity—\$ 140 ) \$ \_\_\_\_\_

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 3 of 6)

## 3. Surcharge fees

- ☒ late payment of filing fee and/or late filing of original declaration or oath  
(37 C.F.R. § 1.16(e)—\$130.00; small entity—\$65.00); \$ 130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, the Office practice under § 37 C.F.R. § 1.16(e) is that only one surcharge Fee need be paid whether the later filed oath or declaration and/or the filing fee are submitted afterwards at the same time or at different times.

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor  
(37 C.F.R. §§ 1.17(i) and 1.47—\$130.00) \$ \_\_\_\_\_
5. ☐ Fee for processing an application filed with a specification in a non-English language  
(37 C.F.R. §§ 1.17(k) and 1.52(d)—\$130.00) \$ \_\_\_\_\_
6. ☐ Fee for processing and retention of application  
(37 C.F.R. §§ 1.21(f) and 1.53(d)—\$130.00) \$ \_\_\_\_\_
7. ☐ Assignment (See "ASSIGNMENT COVER SHEET".)

NOTE: 37 C.F.R. § 1.21(f) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as well as, the changes to 37 C.F.R. §§ 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(f) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$ 870.00

**EXTENSION OF TIME****VII.**

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. § 1.136(a) apply.

- (a) ☒ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input checked="" type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$ 200.00
<input type="checkbox"/> three months	\$ 920.00	\$ 460.00
<input type="checkbox"/> four months	\$1440.00	\$ 720.00

Fee \$ 110.00

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$\_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 110.00

or

- (b) ☐ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

### TOTAL FEE DUE

#### VIII.

The total fee due is

Completion fee(s) \$ 870.00

Extension fee (if any) \$ 110.00

Total Fee Due \$ 980.00

### PAYMENT OF FEES

#### IX.

- ☒ Enclosed is a check in the amount of \$ 980.00
- ☐ Charge Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_  
A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. § 1.22(b).

Please charge Account No. \_\_\_\_\_ for any fees that may be due by this paper

### AUTHORIZATION TO CHARGE ADDITIONAL FEES

#### X.

**WARNING:** Accurately count claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- ☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 23-0442

☒ 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)

☐ 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 5 of 6)

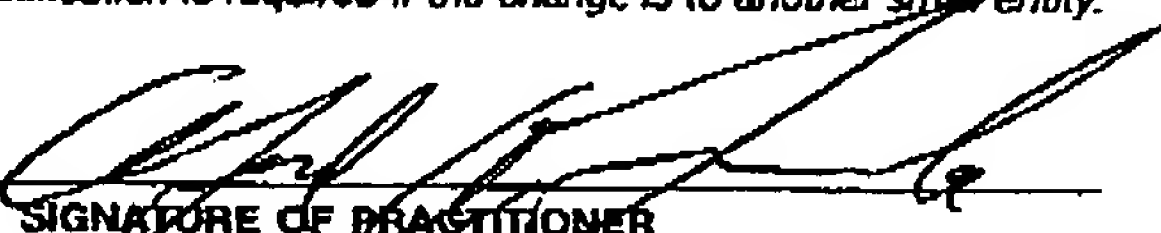
- ☒ 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))
- ☐ 37 C.F.R. § 1.17 (application processing fees)

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee . . ." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.



SIGNATURE OF PRACTITIONER

Reg. No. 27,550

Tel. No.: (203) 261-1234

Customer No. 04955

Alfred A. Fressola

(type or print name of practitioner)

WARE, FRESSOLA, VAN DER SLUYS & ADOLPHSON LLP  
755 Main Street, Building Five

P.O. Address  
Box 224  
Monroe, CT 06468

Page 1 of 1  
COPY OF PAPERS  
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02/11/02



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/994,471	11/26/2001	Andreas Stiegler	943-002.2

004955

WARE FRESSOLA VAN DER SLUYS &  
ADOLPHSON, LLP  
BRADFORD GREEN BUILDING 5  
755 MAIN STREET, P O BOX 224  
MONROE, CT 06468



CONFIRMATION NO. 7230

## FORMALITIES LETTER



\*0000000007165554\*

Date Mailed: 12/06/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Applicant Stiegler et alFor: Decoding Device, Decoding Method and Automobile.....Serial No. 09/994,471 Filed: 11/26/01

The following papers were received in the U.S. Patent and Trademark Office:

<input checked="" type="checkbox"/> Transmittal of Missing Parts	<input type="checkbox"/> Amendment and/or Response
<input type="checkbox"/> Specification - No. of Pages	<input type="checkbox"/> Info. Disclosure Statement
<input type="checkbox"/> Claims - No. of Pages	<input type="checkbox"/> TM or SM Appl. - No. of Pages
<input type="checkbox"/> Abstract - No. of Pages	<input type="checkbox"/> Specimens - No. of
<input checked="" type="checkbox"/> Decl. and Power of Atty.	<input checked="" type="checkbox"/> Fee: \$980.00 <u>ck</u> Enclosed
<input type="checkbox"/> Assignment	<input type="checkbox"/> Drawings - No. of Sheets
<input type="checkbox"/> Small Entity Statement	
<input checked="" type="checkbox"/> Copy of Response	

Attorney:  
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2/27/02

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Docket No.  
943-002.2RECEIVED  
WARE, FRESSOLA, VAN DER SLUYS  
& ADOLPHSON

MAR 21 2002

FILE 943-002.2  
ANS'D. AAF